

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

0895/97022

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

Unknown

INTERNATIONAL APPLICATION NO.
PCT/IN04/000303

INTERNATIONAL FILING DATE
24 September 2004

PRIORITY DATE CLAIMED
26 September 2003

TITLE OF INVENTION

PROCESS FOR THE PREPARATION OF RISPERIDONE

APPLICANT(S) FOR DO/EO/US

Guntu Srinivasa Rao, Basavapatna N. Prasanna Kumar, Sulur G. Manjunatha and Ashok Krishna Kulkarni

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☒ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV555558027US

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|---|--|--|--|---|-------------|
| U.S. APPLICATION NO (if known, see 37 CFR 1.5) Unknown | | INTERNATIONAL APPLICATION NO. PCT/IN204/000303 | | ATTORNEY'S DOCKET NUMBER 0895/97022 | |
| 23. Other items or information: Application Data Sheet, Verified Certification of Express Mailing (37CFR 1.10(c) No. EV555558027US | | | | | |
| The following fees have been submitted: | | | | CALCULATIONS | |
| 24. <input checked="" type="checkbox"/> Basic national fee | | | | \$ | \$300.00 |
| 25. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article | | | | \$ | \$200.00 |
| All other situations. | | | | \$ | \$200 |
| 26. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). . . | | | | \$ | \$500.00 |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority. | | | | \$ | \$100 |
| International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB. | | | | \$ | \$400 |
| All other situations. | | | | \$ | \$500 |
| TOTAL OF 24, 25 and 26 = | | | | \$ | \$1,000.00 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | RATE | |
| 23 - 100 = | | 0 /50 = | 0 | x | \$ \$0.00 |
| Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)). | | | | \$ | \$130.00 |
| CLAIMS | | NUMBER FILED | NUMBER EXTRA | RATE | |
| Total claims | | 24 - 20 = | 4 | x \$50.00 | \$ \$200.00 |
| Independent claims | | 2 - 3 = | 0 | x \$200.00 | \$ \$0.00 |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + | | | | \$ | \$0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ | \$1,330.00 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. | | | | \$ | \$0.00 |
| SUBTOTAL = | | | | \$ | \$1,330.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). | | | | \$ | \$0.00 |
| TOTAL NATIONAL FEE = | | | | \$ | \$1,330.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + | | | | \$ | \$0.00 |
| TOTAL FEES ENCLOSED = | | | | \$ | \$1,330.00 |
| | | | | Amount to be | \$ |
| | | | | Amount to be | \$ |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☒ A check in the amount of \$ \$1,330.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 23-0920 in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-0920. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Edward P. Gamson, Esq.
WELSH & KATZ, LTD.
120 South Riverside Plaza
22nd Floor
Chicago, Illinois 60606


SIGNATURE

Gerald T. Shekleton, Esq.

NAME

27,466

REGISTRATION NUMBER

March 22, 2006

DATE

Attorney's Docket No. 97022

1AP20



RECEIVING OFFICE (RO/US)

IN THE UNITED STATES



DESIGNATED OFFICE (DO/US)



ELECTED OFFICE (EO/US)

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APPLICANT(S)

Box PCT
U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

**VERIFIED CERTIFICATION OF EXPRESS MAILING DATE
(INTERNATIONAL APPLICATION (37 CFR 1.10(c)))**

I declare that on March 22, 2006 I deposited with the United States Postal Service in an envelope as "Express Mail, Post Office to Addressee" bearing Label Number EV555558027US addressed to "Box PCT / U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202" and having an express mail certification which I executed, the following papers:

Transmittal Letter, (form PTO-1390), International Application including spec claims and drawings, Application Data Sheet, Search Report, Preliminary Amendment, and Application Fee

A copy of these papers from the file of this application is attached.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.

Carl Stanley

(typed or printed name of person making this verified statement)

Date March 22, 2006

Carl Stanley

(Signature of person making this verified statement)